

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

09163-20901

In Re Application Of:

Allen et al.

Serial No.

09/929,886

Filing Date

August 15, 2001

Examiner

To Be Assigned

Group Art Unit

2161

Title:

METHOD AND SYSTEM FOR AUTOMATIC EXECUTION OF A SECURITIES TRANSACTION

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

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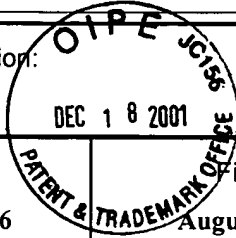
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**METHOD AND SYSTEM FOR AUTOMATIC EXECUTION OF A SECURITIES TRANSACTION****RECEIVED**  
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(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 13-3250 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
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39,227

Dated:

November 21, 2001

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FORM PTO-1449

DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.:  
09163-20901SERIAL NO.:  
09/929,886APPLICANT:  
Allen et al.FILING DATE:  
August 15, 2001GROUP ART UNIT:  
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DEC 21 2001  
Technology Center 2100

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,112,189	08/29/00	Rickard et al.			Mar. 19, 1997
	6,016,483	01/18/00	Rickard et al.			Sep. 20, 1996
	6,014,643	01/11/00	Minton			Aug. 26, 1996
	6,014,627	01/11/00	Togher et al.			Jun. 18, 1996
	5,987,419	11/16/99	Hachino et al.			Mar. 18, 1994
	5,950,176	09/07/99	Keiser et al.			Mar. 25, 1996
	5,915,209	06/22/99	Lawrence			Oct. 3, 1997
	5,873,071	02/16/99	Ferstenberg et al.			May 15, 1997
	5,809,483	09/15/98	Broka et al.			Nov. 14, 1997
	5,689,652	11/18/97	Lupien et al.			Apr. 27, 1995
	5,557,517	09/17/96	Daughterty, III			Jul. 29, 1994
	4,412,287	10/25/83	Braddock, III			Sep. 15, 1982

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.